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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 1441.1D**Effective Date:
February 24, 2003
Expiration Date:
February 24, 2013[Printable Format \(PDF\)](#)

Request Notification of Change

(NASA Only)

Subject: NASA Records Retention Schedules (w/Change 5, 6/26/09)

Responsible Office: Office of the Chief Information Officer[| TOC](#) | [Preface](#) | [ChangeHistory](#) | [Introduction](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) |
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Chapter 7. NRRS 7

PROGRAM FORMULATION RECORDS [SEE NOTE2]

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 7 pertain to the management, planning, and administration of a Research & Development (R&D) program and to groups of projects and laboratory type organizations at Centers. Records in this category are created and accumulated by organizations that have overall management responsibility for programs or multiple-project activities. This schedule provides pertinent record categories and specifies the retention and dispositions for each.

Files relate to overall program administration and reflect planning, budgeting, scheduling, coordination, and management of the program. Files accumulated by offices of project managers who are responsible for the direct administration of the technical aspects of the program/system, should file these as part of the R&D Project Case File which is set forth in Schedule 8 - "Program Management." (SEE NOTE1)

The Program Office, normally at NASA Headquarters, is responsible for maintaining the administrative case file relating to a particular program/project, and for insuring the ongoing consolidation of essential documentation of the program. This activity includes records from time of inception, management of the program throughout its life, to program completion. Official records created during project/program management through to completion of the project are filed in the official R&D Project Case File located in Schedule 8.

NOTE1: PROJECT MANAGEMENT and PERFORMANCE RECORDS of an R&D Program are described in Schedule 8 which covers records created and accumulated by project organizations that have direct management control over in-house and/or contractor project activities. These files include individual basic research, applied research, and engineering development projects and as such are designated as either the project/program manager's files or the principal investigator's files and are considered a "PERMANENT" record series.

NOTE2: There are no General Records Schedules (GRS) that cover R&D records. Therefore, if a category or series of records is not listed in this Schedule or Schedule 8, disposition is not authorized. Contact your Center's Records Manager or the Nasa Records Officer for instructions.

| <u>AFS #</u> | <u>ITEM</u> | SUBJECT AREA OR RECORD TITLE <u>DESCRIPTION OF RECORD SERIES</u> | RETENTION <Authority> |
|---------------------|--------------------|---|--|
| 7000-7999 | | PROGRAM FORMULATION | (see below) |
| | 0.1 | <p>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-94-3 and N1-255-94-2 in the NASA Records Retention Schedule 7, with the following exception:</p> <ul style="list-style-type: none"> -- Item 25C, subparts 1, 2, and 4 (Aircraft Files -- Platform Aircraft -- Operational (ARC Only)) <p>In addition, this disposition does not apply to any item already covered by the General Records Schedules.</p> | |
| | | A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, |

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| | | | REVISION, OR UPDATING IS COMPLETED. <N9-255-00-04> |
| | | B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED. <N9-255-00-04> |
| 7000 | | Program Formulation General | (see below) |
| 7000 | 1 | R&D CORRESPONDENCE FILES | |
| | | Record copies of correspondence relating to management and operation of a laboratory or a program office. These are housekeeping files and do not include the official program or project files. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| 7000 | 2 | R&D PROJECT CONTROL FILES | |
| | | Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case file, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents. | |
| | | <u>A. DIRECTOR'S OFFICE AT PERFORMING CENTERS AND HEADQUARTERS PROGRAM OFFICES</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |

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| | | <u>B. OFFICE OF LABORATORY CHIEFS AND DIRECTORS SUPERVISING R&D PROJECTS</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| | 2 | C. <u>ALL OTHER COPIES</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/104 OR 8/108. <N1-255-04-3> |
| 7000 | 3 | R&D SOURCE DATA FILES | |
| | | Punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| 7010 | | Agency Program Goals and Objectives | Contact Center Records Mgr. |
| 7020 | | Long-range Planning | (see below) |
| 7020 | 4 | R&D LONG RANGE PLANNING FILES | |
| | | Documents involving the establishment of schedules to achieve NASA's long range research and development objectives, the formulation of new concepts and requirements in R&D for planning purposes and similar matters. Included are R&D long range plans, R&D forecasts, documents reflecting the evolution of these plans or forecasts, and documents contributing to the development of the plans or forecasts. | |

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| | | A. Headquarters offices performing the NASA-wide staff responsibility and office responsible for preparation of the plan and forecast. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | B. Contributing offices (Headquarters and Centers). | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| | | C. All other offices/copies. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/104 OR 8/108. <N1-255-04-3> |
| 7030 | | Intermediate-Range Planning | Contact Center Records Mgr. |
| 7040 | | Program Planning and Review | Contact Center Records Mgr. |
| 7050 | | Low Cost Systems Program | Contact Center Records Mgr. |
| 7060 | | Program and Project Logistics Policy | Contact Center Records Mgr. |
| 7100 | | Research and Development Planning and Approval | (see below) |
| 7100 | 5 | R&D PROJECT FILES - PLANNING AND APPROVAL FINAL REPORTS AND COMPLETED PROJECTS - SEE SCHEDULE 8 | |
| | | A. <u>REPORTS</u> Reports prepared by the project manager or other project personnel, containing information about project progress and research, development, test, and evaluation tasks, including the identification, time phasing, requirements, and other information about planning and | |

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| | | approval of the project and associated activities and findings. | |
| | 5 | 1. <u>PUBLISHED REPORTS</u> | |
| | | (a) Centers' office of primary responsibility will maintain one official record copy of each report that is published together with papers showing inception, scope, and background, including coordination papers and comments. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | NOTE: Reference copies may be maintained for related work | |
| | | (b) Working papers such as notes, rough drafts, galley proofs, background reports, and other such papers. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3> |
| | | 2. <u>UNPUBLISHED REPORTS</u> | |
| | | Centers' office of primary responsibility will mark and maintain one official record copy of each report that is written and circulated for NASA use but is not published in a "formal" series of reports for general or public dissemination. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| | | 3. <u>PROGRAM/PROJECT DOCUMENTATION</u> | |
| | | (a) Records that document management decisions and rationale for the establishment of a program/project office. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | (b) All other records. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3> |

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| | | B. <u>TECHNICAL REPORTS</u> These records consist of one copy of each preliminary, progress, or final R&D technical report or publication prepared or issued by a field Installation or activity, or received from their respective contractor(s). | |
| | | 1. Office of primary responsibility will maintain one record copy of each publication (marked "Official Copy") together with related papers showing inception, scope, and background. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | 2. Other copies maintained for reference by any office, including all technical reports published and distributed by or for the Scientific and Technical Information function. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102 OR 8/108. <N1-255-04-3> |
| | | C. <u>PROJECT LISTS</u> Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by the agency. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/103 OR 8/107. <N1-255-04-3> |
| | 5 | D. <u>PLANNING FILES</u> Official record set of the Project Development Plan, General Test Plan, System Safety Plan, Data Management Plan, Quality and Reliability Plan, Mission Contingency Plan, Mission Success Criteria, Transportation Plan, Configuration Control Plan, Logistics Plan, and all other project planning documents. Documentation included may consist of concept, definition, design and development, evaluation, and operation data/records. | |

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| | | 1. Official record set as maintained either by the office of primary responsibility or the project office. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | 2. Other working/reference copies and offices. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102 OR 8/108. <N1-255-04-3> |
| | | E. <u>ADMINISTRATIVE - R&D</u> Administrative operations files, correspondence concerning routine or temporary administrative matters. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3> |
| 7100 | 6 | R&D PROGRAM MANAGER CONTROL FILES | |
| | | These files reflect the control of research, development, procurement, and production of those equipment systems, which because of total cost, technical complexity, or number of project components, are required to have special or "program" management. These files, as such, are accumulated only by offices of those program managers who rely on other Centers to contract for, and directly supervise, the technical and engineering aspects of the system. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| 7100 | 7 | EARTH OBSERVATIONS COMMERCIAL APPLICATIONS PROGRAM (EOCAP) (SSC ONLY) | |
| | | Stennis Space Center (SSC) manages, on behalf of NASA Office of Commercial Programs, an applications program, EOCAP, designed to develop commercial interest for NASA-developed Remote sensing technology. | |

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| | | Proposals are received at NASA Headquarters as a part of a NASA Research Announcement (NRA). Selected proposals (projects) are transferred to SSC for general program management. Proposal files consist of the proposal (as received), funding documentation, deliverables, and schedules. Files are kept in the following format/organization: | |
| | | A. <u>EOCAP I PROPOSALS</u> | |
| | | 1. Selected proposals, scores, evaluations, recommendations, and funding information. | FUNDED PROPOSAL FILES WILL BE INCORPORATED INTO EOCAP I CONTRACT FILES. <N1-255-94-3> |
| | | 2. Proposals not selected. | DESTROY WHEN 1 YEAR OLD. <N1-255-94-3> |
| | 7 | B. <u>EOCAP I CONTRACTS</u> Records include materials generated during proposal selection, Item A. | DESTROY CONTRACT FILE 3 YEARS AFTER COMPLETION OF PHASE I. (THIS INCLUDES RECORDS INCORPORATED FROM A. ABOVE.) <N1-255-94-3> |
| | | C. <u>EOCAP I REPORTS</u> Records consist of both quarterly and annual reports. | DESTROY REPORTS 3 YEARS AFTER COMPLETION OF PHASE I. <N1-255-94-3> |
| | | D. <u>EOCAP I ADMINISTRATION/REVIEWS</u> Records consist of administrative correspondence and communications; including program reviews and other related activities. | DESTROY 3 YEARS AFTER COMPLETION OF PHASE I. <N1-255-94-3> |

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| | | <p>E. <u>EOCAP II RECORDS</u></p> <p>EOCAP II records follow the same procedures and disposition instructions as EOCAP I except for EOCAP II proposals that are incorporated into the contract file for follow-on work to EOCAP I contracts, unless they are a separate contract.</p> | <p>SEE ABOVE ITEMS FOR DISPOSITION INSTRUCTIONS; PHASES CHANGE TO REFLECT NEW PROGRAM, I.E, DESTROY CONTRACTS 3 YEARS AFTER COMPLETION OF PHASE II.</p> <p><N1-255-94-3></p> |
| 7100 | 8 | NASA RESEARCH ANNOUNCEMENTS (NRA) | |
| | | <p>Records consist of announcements encouraging the submission of research proposals. These announcements are usually made in circulated notices and letters, such as Space Science Notices, Applications Notices, and "Dear Colleague" letters. Approval records, notification records, Authorization to Proceed, and concurrence records are all part of these records. Selection of proposal has been made following peer or scientific (see Item 9 of this schedule) review of the proposals.</p> | <p>ACCEPTED NRA:ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107.</p> <p><N1-255-04-3></p> <p>REJECTED NRA:ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109.</p> <p><N1-255-04-3></p> |
| 7100 | 9 | R&D PEER REVIEW AND EVALUATIONS | |
| | | <p>A. <u>EXTERNAL REVIEWS</u></p> <p>Investigative reports of peer reviews and evaluations, which may include but are not limited to "Dear Colleague" letters concerning the feasibility of performing and acquiring the services of, or the performance of a solicited and an unsolicited proposal from researchers and/or scientists.</p> | |

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| | | 1. Reports and proposals resulting in a project. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | 2. Reports and proposals not selected or rejected proposals. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/109. <N1-255-04-3> |
| | 9 | B. <u>INTERNAL REVIEWS</u> Reports of peer reviews and evaluations including, but not limited to, proposals, slides/charts, letters, and a chairman's summary report concerning the research being performed by a specific group/individual of researchers and/or scientists. | |
| | | 1. Accepted proposals resulting in a project. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | 2. Rejected proposals. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/109. <N1-255-04-3> |
| 7110 | | Advanced Studies Planning and Approval | Contact Center Records Mgr. |
| 7120 | | Project Planning and Approval | (see below) |
| 7120 | 10 | PROJECT APPROVAL DOCUMENTS (PAD) | |
| | | Authorizations to initiate and carry out the project(s) within the scope defined in the PAD and within available allotted funds. | |

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| | | <p><u>A. HEADQUARTERS or OFFICE OF PRIMARY RESPONSIBILITY</u></p> <p>Note: If a Center Organization has overall responsibility for a Project including the authority to approve the PAD, then the Center would control the records as the Office of Primary Responsibility.</p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3></p> |
| | | <p><u>B. CENTER</u></p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3></p> |
| 7120 | 11 | MANAGEMENT PROJECT FILES | |
| | | <p>Surveys, analytical studies, background papers, notes, data, interim reports, final reports, and related papers pertaining to administrative functions.</p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3></p> |
| 7121 | | Phased Project Planning and Approval | (see below) |
| 7121 | 12 | R&D SPECIFICATION FILES | |
| | | <p>Preliminary, experimental, and final specifications created in connection with engineering projects. Arrange by specification number or by project.</p> | |
| | | <p><u>A. OFFICE DELEGATED RESPONSIBILITY FOR MAINTENANCE OF OFFICIAL RECORD SETS</u></p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101. <N1-255-04-3></p> |
| | | <p><u>B. ALL OTHER OFFICES/COPIES</u></p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102. <N1-255-04-3></p> |
| 7122 | | Other Project Planning and Approval | (see below) |

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| 7122 | 13 | PUBLIC REACTIONS TO ESTABLISHMENT OF MAJOR PROJECTS | |
| | | Correspondence with citizens, including municipal offices, expressing interest in or opposition to establishment of new Centers or new NASA construction programs. This correspondence usually cites adverse impacts upon the community. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| 7123 | | Systems Engineering | Contact Center Records Mgr. |
| 7130 | | Supporting Research and Technology Planning and Approval | Contact Center Records Mgr. |
| 7140 | | University Program | Contact Center Records Mgr. |
| 7150 | | Project Scheduling and Implementation | (see below) |
| 7150 | 14 | RESEARCH AND TECHNOLOGY OBJECTIVES AND PLANS (RTOP) | |
| | | Documents maintained and used to facilitate communication and coordination among technical personnel and to expedite the technology development and transfer process. Records in this series consists of documentation of management review and control of research projects, proposed or currently in progress. | |
| | | A. <u>CENTERS</u> - Office of Primary Responsibility | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |

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| | | B. <u>ALL OTHER OFFICES</u> D copies of records in series Cutoff date is date of record. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102 OR 8/108. <N1-255-04-3> |
| | | C. <u>ELECTRONIC COPIES</u> of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/112 OR 8/113. <N1-255-04-3> |
| 7150 | 15 | R&D CENTER TEST SCHEDULING | |
| | | Documents used by testing units to authorize, schedule, and control project testing and evaluation of models or prototypes in specialized facilities, such as wind tunnels and materials test laboratories. Included are copies of project orders, copies of operating schedules, critical events, feeder reports, and related papers. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3> |
| 7160 | | Project Termination | Contact Center Records Mgr. |
| 7170 | | Human Research | (see below) |
| 7170 | 16 PASR | HUMAN EXPERIMENTAL AND RESEARCH DATA RECORDS - NASA 10 HERD Records in this system consists of data obtained in the course of an experiment, test, or research medical data from in-flight records; other information collected in connection with an experiment, test, or research. Included in this system of records is information about individuals who have been involved in space flight, aeronautical research flight, and/or participated in NASA tests or experimental or research program; | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105. <N1-255-04-3> |

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| | | Civil Service employees, military, employees of other government agencies, contractor employees, students, human subjects (volunteer or paid), and other volunteers on whom information is collected as part of an experiment or study. NOTE: See Schedule 8 for Medical Records on Test Subjects. | |
| 7200 | | Institutional Planning and Approval | Contact Center Records Mgr. |
| 7210 | | Establishment of Agency Institutional Goals and Objectives | Contact Center Records Mgr. |
| 7220 | | Establishment of Center Institutional Goals and Objectives | Contact Center Records Mgr. |
| 7230 | | Institutional Planning & Center Development | (see below) |
| 7230 | 17 | INSTITUTIONAL OPERATING PLAN (IOP) | |
| | | Records in this series are used for the proposed operation plan for particular fund sources related to R&PM money. It is a part of the semiannual budget cycle and is considered working papers for the program/ project offices in the budgetary planning process, usually for the current year and next year monies. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/105 OR 8/109. <N1-255-04-3> |
| 7231 | | Human Resources Planning and Plans | Contact Center Records Mgr. |
| 7232 | | Facility Master Planning and Plans | Contact Center Records Mgr. |
| 7233 | | Center Technical Capability Planning and Plans | Contact Center Records Mgr. |
| 7234 | | Center Institutional Capability Planning and Plans | Contact Center Records Mgr. |

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| 7235 | | Site Selection | Contact Center Records Mgr. |
| 7300 | | Facility Planning and Approval | Contact Center Records Mgr. |
| 7310 | | Facility Requirements Determination | Contact Center Records Mgr. |
| 7320 | | Facility Design Standards, Criteria, and Procedures | (see below) |
| 7320 | 18 | DRAWINGS - R&D FACILITIES FILES | |
| | | Preliminary, experimental, final design, and "as built" drawings created in connection with research and development projects, including reduced-size offset prints and aperture cards. Arrange by drawing number or by project. | |
| | | <u>A. OFFICE DELEGATED RESPONSIBILITY FOR MAINTENANCE OF OFFICIAL RECORD SET</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101. <N1-255-04-3> |
| | | <u>B. HARD COPIES IF MAINTAINED ON APERTURE CARDS</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102. <N1-255-04-3> |
| | | <u>C. ALL OTHER COPIES AND OFFICES</u> | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102. <N1-255-04-3> |
| 7330 | | Facility Projects, Approval Authorities | Contact Center Records Mgr. |
| 7340 | | Industrial Facilities Planning and Approval | Contact Center Records Mgr. |

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| 7400 | | Approval and Management of Financial Reports for Contracts and Grants, Allotments, and Resources / Apportionment Files | (see below) |
| 7400 | 19 | FINANCIAL REPORTS - CONTRACTS AND GRANTS | |
| | | Consolidated Agencywide reports of financial and statistical data covering NASA contracts and grants. | |
| | | A. <u>HEADQUARTERS</u>: OPR Copy | |
| | | 1. June issue: | RETIRE TO FRC 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THEY PERTAIN. DESTROY 10 YEARS AFTER FISCAL YEAR TO WHICH THEY PERTAIN. <N1-255-94-2> (N 7-9) |
| | | 2. All other issues: | DESTROY 2 YEARS AFTER THE FISCAL YEAR TO WHICH THEY PERTAIN. <N1-255-94-3> |
| | | B. <u>ALL OTHER COPIES/OFFICES</u>. | DESTROY AS SOON AS ACTIVE REFERENCE VALUE CEASES OR WHEN 2 YEARS OLD WHICHEVER IS SOONER. <N1-255-94-3> |
| 7400 | 20 | ALLOTMENT OF FUNDS (504s) | |
| | | Allotment of funds and memoranda concerning decisions on funding levels and changes. | |
| | 20 | A. <u>HEADQUARTERS</u> | * PERMANENT * RETIRE TO FRC WHEN 3 YEARS OLD FOR ANNUAL ACCOUNTS AND 5 YEARS FOR NO |

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| | | | YEAR APPROPRIATIONS. TRANSFER TO NARA WHEN 10 YEARS OLD. <N1-255-94-3> (N 7-3) |
| | | B. <u>CENTER</u> | DESTROY ANNUAL ACCOUNTS WHEN 3 YEARS OLD AND NO YEAR ACCOUNTS WHEN 5 YEARS OLD. <N1-255-94-3> |
| 7400 | 21 | BUDGET AND PROGRAMMING RESOURCES/APPORTIONMENT FILES | |
| | | A. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. Excluding files relating to Agency policy and procedure maintained in formally organized budget offices. | DESTROY WHEN 2 YEARS OLD. [GRS 5-1] (N 7-8) |
| | | B. Recurring reports of scientific research and development activities. | |
| | | 1. Headquarters. | RETIRE 1 COPY OF EACH REPORT TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 8 YEARS OLD. <N1-255-94-3> |
| | | 2. All other copies/offices. | DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER. <N1-255-94-3> |
| | | C. Special Studies. | |

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| | | 1. Headquarters. | * PERMANENT * RETIRE 1 COPY OF EACH REPORT TO FRC WHEN STUDY BECOMES INACTIVE. TRANSFER TO NARA WHEN 15 YEARS OLD. <N1-255-94-3> |
| | | 2. All other copies/offices. | DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD WHICHEVER IS SOONER. <N1-255-94-3> |
| | | D. Apportionment and reapportionment schedules and memoranda schedules proposing obligations, transfers, etc., under each appropriation. | |
| | | 1. Headquarters. | DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR. [GRS 5-4] (N 7-2) |
| | | 2. All other copies/offices. | DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR. [GRS 5-4] |
| | | E. Budget report files consisting of periodic reports on the status of appropriation accounts and apportionment. | |
| | 21 | 1. Annual report (end of fiscal year). | DESTROY WHEN 5 YEARS OLD. [GRS 5-3a] |
| | | 2. All other copies/offices. | DESTROY 3 YEARS AFTER THE END OF THE FISCAL YEAR.[GRS 5-3b] |

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| | | F. Background working papers, cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices. | DESTROY 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR COVERED BY THE BUDGET. [GRS 5-2] (N 7-6) |
| | | G. Budget estimates and justification files. | |
| | | 1. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data. | * PERMANENT * RETIRE TO FRC BY FISCAL YEAR WHEN NO LONGER NEEDED FOR ACTIVE REFERENCE OR WHEN 10 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD. <N1-255-94-3> (N 7-1) |
| | | 2. Working copies, background materials, all other office/copies. | SEE ITEM F. OF THIS SCHEDULE. <N1-255-94-3> |
| 7500 | | Commercialization (of NASA Technology and Systems) | Contact Center Records Mgr. |
| 7600 | | Program Operating Plans | (see below) |
| 7600 | 22 | PROGRAM/PROJECT OPERATING PLAN (POP) | |
| | | Associate Administrator and Center program resources offices periodic request(s) for resource requirements against the proposed budget/planning for a particular project. Included are working papers in the program/project office used in budget planning and setting performance targets. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |

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| 7610 | | General Policies and Procedures | Contact Center Records Mgr. |
| 7620 | | Research and Program Management | (see below) |
| 7620 | 23 | PROGRAM/PROJECT NAME FILES | |
| | | Documents relating to the assignment of popular names to projects and major items of equipment (i.e. Shuttle orbiters, satellites, etc.). Included are correspondence concerning proposed names, minutes of meetings of Project Designation Committees, coordinating actions on the proposed names, approvals, and all other related documentation/materials. | |
| | | A. Case files of the Associate Administrator for Public Affairs (Headquarters) and any Headquarters office or Center responsible for proposing projects to be named and recommending names. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/107. <N1-255-04-3> |
| | | B. All other offices/copies. | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/102 OR 8/108. <N1-255-04-3> |
| 7630 | | Research and Development | Contact Center Records Mgr. |
| 7640 | | Construction of Facilities | Contact Center Records Mgr. |
| 7700 | | Human Resources Utilization | Contact Center Records Mgr. |
| 7710 | | General | Contact Center Records Mgr. |
| 7720 | | Determination of Human Resources Requirements | Contact Center Records Mgr. |

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| 7730 | | Personnel Complement Ceilings and Controls | Contact Center Records Mgr. |
| 7740 | | Human Resources Utilization Programs and Reports | Contact Center Records Mgr. |
| 7800 | | Resources Authority Allocation System | Contact Center Records Mgr. |
| 7810 | | General | Contact Center Records Mgr. |
| 7820 | | Research and Program Management (R&PM) | Contact Center Records Mgr. |
| 7830 | | Research and Development (R&D) | (see below) |
| 7830 | 24 | RESOURCES AUTHORITY WARRANTS (506s) | |
| | | Agency authorizations to utilize a stated amount of resources available to program and administrative offices (funds and/or personnel complement) for the execution of approved NASA Projects and activities (includes 506s original and sub-authorities). | |
| | | A <u>HEADQUARTERS</u> (OPR) | |
| | | 1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy) | CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT CLOSES. DESTROY 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. <N1-255-96-3> (N 7-5) |

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| | | <p>2. NO YEAR ACCOUNTS (Recordkeeping Copy)</p> <p>NOTE: Close Account if (1) the Head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no disbursement has been made against the appropriation for 2 consecutive fiscal years.</p> | <p>RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.</p> <p><N1-255-96-3></p> |
| | | <p>3. Electronic copies created on electronic mail and word processing systems.</p> | <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.</p> <p><N1-255-96-3></p> |
| | | B. <u>CENTERS</u> (OPR) | |
| | | <p>1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy)</p> | <p>CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT CLOSES. DESTROY 3 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.</p> <p><N1-255-96-3></p> |
| | | <p>2. NO YEAR ACCOUNTS (Recordkeeping Copy)</p> <p>NOTE: Close Account if (1) the Head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no</p> | <p>RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 3 YEARS</p> |

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| | | disbursement has been made against the appropriation for 2 consecutive fiscal years. | AFTER FISCAL YEAR IN |
| | 24 | | WHICH ACCOUNT(S) IS CLOSED. <N1-255-96-3> |
| | | 3. Electronic copies created on electronic mail and word processing systems. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED. <N1-255-96-3> |
| | | <u>C. ALL OTHER OFFICES/COPIES.</u> | DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 1 YEAR OLD, WHICHEVER IS LATER. NOT AUTHORIZED FOR TRANSFER TO AN FRC. <N1-255-96-3> |
| 7840 | | Construction of Facilities (C of F) | Contact Center Records Mgr. |
| 7900 | | Aircraft Operations and Management | (see below) |
| 7900 | 25 | AIRCRAFT FILES <u>A. AIRBORNE DATA ACQUISITION</u> These are files that are maintained at the Aircraft Management Office, Headquarters and at Centers. Typically files include information with respect to aircraft operations, cost, scheduling and tasking, usually relating to remote sensing research. NOTE: These files DO NOT include maintenance records that are maintained under a separate contract. | |
| | | 1. General correspondence. | DESTROY WHEN 5 YEARS OLD. <N1-255-94-3> |

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| | | 2. Financial reports. | DESTROY 2 YEARS AFTER THE FISCAL YEAR OF THE REPORT. <N1-255-94-3> |
| | | 3. Flight schedules. | DESTROY 1 YEAR AFTER THE FLIGHT SEASON. <N1-255-94-3> |
| | | 4. Job orders. | DESTROY 2 YEARS AFTER EXPIRATION. <N1-255-94-3> |
| | | <u>B. MAINTENANCE RECORDS (CURRENT/HISTORICAL)</u> | |
| | | Records in this series include maintenance records for various aircraft located at NASA facilities. These records also may include some blueprints and sketches of parts used on the various aircraft that are in the inventory. | RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR AFTER CLOSE OF FILE OR WHEN NO LONGER NEEDED. RECORDS WILL BE KEPT ON-SITE AS LONG AS AIRCRAFT IS IN AGENCY INVENTORY. IF AIRCRAFT IS TRANSFERRED TO ANOTHER AGENCY, TRANSFER RECORDS WITH AIRCRAFT. IF AIRCRAFT IS OTHERWISE DISPOSED OF OR DESTROYED, RECORDS WILL EITHER BE DESTROYED AT THAT TIME, WHEN NO LONGER NEEDED, OR WHEN 1 YEAR OLD, WHICHEVER IS SOONER. <N1-255-94-3> |
| | 25 | <u>C. PLATFORM AIRCRAFT - OPERATIONAL (ARC ONLY)</u> | |

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| | | 1. Transferred Aircraft Records (hard copies and electronic copies). | TRANSFER ASSOCIATED RECORDS WITH THE AIRCRAFT WHEN IT LEAVES AGENCY INVENTORY. THIS INCLUDES TRANSFER OR DONATION TO A MUSEUM OR OTHER SUCH INSTITUTION. <N1-255-94-3> |
| | | 2. Aircraft no longer in inventory (non-current/inactive) (hard copies and electronic copies). | DESTROY RECORDS ASSOCIATED WITH THE SPECIFIC AIRCRAFT WHEN IT IS DESTROYED, DISMANTLED, OR CANNIBALIZED AND NO LONGER ON THE AGENCY INVENTORY, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <N1-255-94-3> |
| | | 3. Current/active aircraft maintained in agency inventory. OPR: Code OMM, Medium Altitude Missions Office within the Sciences and Applications Aircraft Division. | RETAIN ORIGINAL ON-SITE AT ARC WITH AIRCRAFT. EITHER TRANSFER RECORDS WITH ASSOCIATED PLANE OR DESTROY WHEN PLANE IS NO LONGER MAINTAINED IN THE INVENTORY, AS APPROPRIATE. (SEE ITEM B. ABOVE). <N1-255-94-3> |
| | | 4. CAD System | RECORDS MAY BE DELETED WHEN 5 YEARS OLD OR WHEN AIRCRAFT LEAVES THE AGENCY INVENTORY, WHICHEVER IS SOONER. <N1-255-94-3> |

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| | | 5. All other offices/copies. | DESTROY WHEN OBSOLETE, OR WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <N1-255-94-3> |
| | | <u>D. CONFIGURATION MANAGEMENT FILES - VARIOUS AIRCRAFT</u> Records in this series include documentation of inactive aircraft that are maintained by the Aircraft documentation office. These files may include, but are not limited to, Status Reports, Configuration Change Requests, System Test Reports and Discrepancy Reports. | RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR. DESTROY WHEN OBSOLETE OR WHEN NO LONGER NEEDED FOR REFERENCE. <N1-255-94-3> |
| 7910 | | Aircraft Operations Management | Contact Center Records Mgr. |
| 7920 | | Administrative Aircraft Management | Contact Center Records Mgr. |
| | | END OF SCHEDULE | |

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